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Intellectual Property Administration
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PATENT APPLICATION
ATTORNEY DOCKET NO. 200308776-1

IN THE
UNITED STATES PATENT AND TRADEMARK OFFICE

Inventor(s): Pedro J. Moreno et al.

Confirmation No.:

Application No.:

Examiner:

Filing Date:

Group Art Unit:

Title: METHOD AND APPARATUS FOR OBJECT IDENTIFICATION, CLASSIFICATION OR
VERIFICATION

Commissioner for Patents
PO Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

This Information Disclosure Statement is submitted:

- ☒ under 37 CFR 1.97(b), or
(Within three months of filing national application; or date of entry of national application; or before
mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:
☐ Statement under 37 CFR 1.97(e), or
☐ a \$180.00 fee under 37 CFR 1.17(p), or
(After the CFR 1.97 (b) time period, but before final action or notice of allowance, whichever occurs first)
- ☐ under 37 CFR 1.97 (d) together with a:
☐ Statement under 37 CFR 1.97(e)(1) or (2), and
☐ a \$180.00 fee set forth in 37 CFR 1.17(p).
(Filed after final action, a notice of allowance, on or before payment of the issue fee)

Please charge to Deposit Account **08-2025** the sum of \$0.00. At any time during the
pendency of this application, please charge any fees required or credit any overpayment to Deposit
Account **08-2025** pursuant to 37 CFR 1.25.

☒ Applicant(s) submit herewith Form PTO 1449 - Information Disclosure Citation together with
copies, of patents, publications or other information of which applicant(s) are aware, which applicant(s)
believe(s) may be material to the examination of this application and for which there may be a duty to
disclose in accordance with 37 CFR 1.56.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications
and other foreign language information listed on PTO Form 1449, as presently understood by the
individuals(s) designated in 37 CFR 1.56 (c) most knowledgeable about the content is given on the
attached sheet, or where a foreign language patent is cited in a search report or other action by a
foreign patent office in a counterpart foreign application, an English language version of the search
report or action which indicates the degree of relevance found by the foreign office is listed on form PTO
1449 and is enclosed herewith.

It is requested that the information disclosed herein be made of record in this application.

"Express Mail" label no. **EV 215730806 US**

Date of Deposit 8/21/03

I hereby certify that this is being deposited with the
United States Postal Service "Express Mail Post
Office to Addressee" service under 37 CFR 1.10 on
the date indicated above and is addressed to:
Commissioner for Patents, Alexandria, VA
22313-1450.

By Margaret A. Norcutt
Typed Name Margaret A. Norcutt

Respectfully submitted,

Hamilton, Brook, Smith & Reynolds, P.C.

By Mary Lou Wakimura

Mary Lou Wakimura

Attorney/Agent for Applicant(s)

Reg. No. **31,804**

Date: 8/21/03

PATENT APPLICATION

Sheet 1 of 2

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 200308776-1	APPLICATION NO.	CONFIRMATION NO.
	APPLICANT Pedro J. Moreno t al.		
	FILING DATE	GROUP	

REFERENCE DESIGNATION**U.S. PATENT DOCUMENTS**

EXAMINER INITIAL		DOCUMENT NUMBER	PUBLICATION DATE	NAME	Pages, Columns, Lines Where Relevant Passages or Figures Appear
	1A	2003/0041041	02/27/03	Cristianini	
	1B				
	1C				
	1D				
	1E				
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FOREIGN PATENT DOCUMENTS

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	1L					
	1M					
	1N					
	1O					
	1P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	1Q	Gu, Y. and T. Thomas, "A Text-Independent Speaker Verification System Using Support Vector Machines Classifier," Eurospeech 2001 (3 pp.)
	1R	Fine, S. et al., "Enhancing GMM Scores Using SVM 'Hints'", Eurospeech 2001 (4 pp.)
	1S	Kharroubi, J. et al., "Combining GMM's with Support Vector Machines for Text-independent Speaker Verification," Eurospeech 2001, (4 pp.)

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DATE CONSIDERED

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Sheet 2 of 2

FORM PTO-1449 LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT (Use several sheets if necessary)	ATTY. DOCKET NO. 200308776-1	APPLICATION NO.	CONFIRMATION NO.
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	2L				
	2M				
	2N				
	2O				
	2P				

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	2Q	Lodhi, H. et al., "Text Classification Using String Kernels," Journal of Machine Learning Research 2 (2002) pp. 419-444.
	2R	Jaakkola, T. et al., "Using the Fisher kernel method to detect remote protein homologies," in Proceedings of the International Conference on Intelligent Systems for Molecular Biology, Aug. 1999 (5 pp.)
	2S	Jaakkola, T.S. and D. Haussler, "Exploiting generative models in discriminative classifiers," in Advances in Neural Information Processing Systems, Vol. 11 (1999) 11 pp.

EXAMINER	DATE CONSIDERED
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PATENT APPLICATION

Sheet 3 of 3

<p>FORM PTO-1449</p> <p>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</p> <p align="center">(Use several sheets if necessary)</p>	<p>ATTY. DOCKET NO. 200308776-1</p>	<p>APPLICATION NO.</p>	<p>CONFIRMATION NO.</p>
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	3P					

OTHER REFERENCES (including Author, Title, Date, Pertinent Pages, etc.)

	3Q	Fine, S. et al., "A Hybrid GMM/SVM Approach to Speaker Identification," in Proceedings of the International Conference on Acoustics, Speech and Signal Processing (ICASSP), 2001 (4 pp.)
	3R	Smith, N. et al., Data-Dependent Kernels in SVM Classification of Speech Patterns," Cambridge University Engineering Department Technical Report 387 (April 2001) 56 pp.)
	3S	

<p>EXAMINER</p>	<p>DATE CONSIDERED</p>
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